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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentee : Philip Myron Ginsberg
Patent No. : 6,754,639 B2
Issued : June 22, 2004
Application No.: 09/225,537 Confirmation No.: 2363
Filed : January 4, 1999
For : FIXED INCOME PORTFOLIO INDEX PROCESSOR
Group Art Unit : 3625
Examiner : Geoffrey Akers

Certificate of Correction Branch
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Certificate
JUL 21 2004
of Correction

REQUEST UNDER 37 C.F.R. § 1.323
FOR CERTIFICATE OF CORRECTION

Sir:

Patentee hereby requests a Certificate of Correction under 37 C.F.R. § 1.323 in the above-identified patent. Patentee has enclosed a Certificate of Correction Form PTO-1050 (submitted in duplicate) listing errors in the patent. Some of these errors are believed to be the responsibility of the patentee. The listed errors are related below.

A first error is found on the cover page in item (56), References Cited, FOREIGN PATENT DOCUMENTS. This error is believed to be the responsibility of the patentee.

The error involves the reference to "EP 04 434 877". The correct reference should be "EP 0434877".

A second error, also on the cover page in item (56), relates to other references cited to, and considered by, the United States Patent and Trademark Office but not included in item (56). Patentee believes that this error is the responsibility of the United States Patent and Trademark Office. The patentee submitted references to be considered by the Examiner in an Information Disclosure Statement on January 15, 2003 prior to receipt of a Notice of Allowability. The Information Disclosure Statement included a Form PTO-1449 and a return postcard. The patentee received the return postcard with a United States Patent and Trademark Office stamp indicating that the United States Patent and Trademark Office received the Information Disclosure Statement. (See Appendix A.) However, the patentee did not receive a copy of the Form PTO-1449 initialed by the Examiner. In a telephonic conversation on January 24, 2004, the Examiner told the undersigned that he had considered the references cited in the aforementioned Information Disclosure Statement during the prosecution of the above-captioned patent application prior to the issuance of the Notice of Allowability. Therefore, these documents should be printed in the

certificate of correction, as set forth in the attached Form PTO-1050, as having been considered by the Examiner during the prosecution of the above-captioned patent application.

A third error concerns the patentee's requested amendments of the drawings in a Preliminary Amendment on February 20, 2001. The patentee believes that the error is the responsibility of the United States Patent and Trademark Office. The patentee received a postcard indicating that the United States Patent and Trademark Office received the Preliminary Amendment. (See Appendix B.) However, the Examiner's Notice of Allowability erroneously accepted the original drawings filed on January 4, 1999, and those are the drawings that were printed in the issued patent, instead of the amended drawings.

A fourth error concerns the patentee's requested amendments of the "DESCRIPTION OF THE PRESENT INVENTION" in the Preliminary Amendment of February 20, 2001. The patentee believes that the error is the responsibility of the United States Patent and Trademark Office. The Preliminary Amendment at page 6 requests that at page 15, line 16 of the application, the equation beginning "X= . . ." be replaced with:

$$X = 1 + \frac{rP(I)}{2};$$

The patentee received a postcard indicating that the United States Patent and Trademark Office received the Preliminary Amendment. (See Appendix B.) However, the issued patent does not reflect this amendment.

A fifth error also concerns the "DESCRIPTION OF THE PRESENT INVENTION" section. The patentee believes that the error is the responsibility of the United States Patent and Trademark Office. The application at page 16, lines 11-12 reads "A = [DD-Coupon Date P(I,N)]/[Coupon Date_P(I,N+1)-Coupon Date_P(I,N)]". (See Appendix C.) However, the issued patent reads "A = [D-Coupon Date P(I,N)]/[Coupon Date_P(I,N+1)-Coupon Date_P(I,N)]".

Finally, patentee would also like to discuss in particular the errors in claims 7, 10, 23 and 26. The patentee believes the error is the responsibility of the patentee. The error in each of those claims involves the reference to "other instruments". For example, in claim 7, column 12, lines 11-12; claim 10, column 12, lines 37-38; claim 23, column 14, lines 24-25; and claim 26, column 14, lines 48-49, reference is made to "other instruments". However, throughout the body of these claims, there is only one "other instrument". Thus, each of these claims clearly includes an error, because each of these claims recites only the term "other instrument" and the single mention of

"other instruments" is erroneous. Therefore, the proposed correction, to substitute "other instrument" for "other instruments", is clear from the face of the patent.

Patentee respectfully submits that the proposed corrections do not affect the scope or meaning of the patent (MPEP § 1481), nor do they constitute new matter or require reexamination (37 C.F.R. § 1.323).

Because patentee believes that at least a portion of the errors is the responsibility of patentee, patentee encloses herewith a check in the amount of \$100.00 in payment of the fee set forth in 37 C.F.R. § 1.20(a).

The Director is hereby authorized to charge any additional fee due in connection with this Request, or to credit any overpayment of the same, to Deposit Account No. 06-1075. A duplicate copy of this Request is enclosed herewith.

Respectfully submitted,

I hereby certify that this
Correspondence is being
deposited with the U.S.
Postal Service as First
Class Mail in an envelope
Addressed to:
Commissioner for Patents
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Claire J. Saintil-van Goodman

Signature of Person Signing

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21 JUL 2004

UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO : 6,754,639 B2
DATED : June 22, 2004
INVENTOR : Philip Myron Ginsberg

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Item (56), References Cited, FOREIGN PATENT DOCUMENTS, "EP 04 434 877" should be --EP 0434877--.

Item (56), References Cited, OTHER PUBLICATIONS, add --"Dow Jones Stoxx Index Guide," STOXX, pp. 1-43, Version 7.1 (March 2002).

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"Guidelines to the BayX30* Bavarian Equity Index," Deutsche Börse, pp. 1-25, Version 2.0, (September 2002).

"Guide to the iBoxx € Benchmark Indices," Deutsche Börse - iBoxx Indices, pp. 1-35, Version 2.01, (October 2002).

"Guide to the iBoxx € Liquid Indices," Deutsche Börse - iBoxx Indices, pp. 1-40, Version 1.0, (October 2002).

"Guide to iBoxx £ Benchmark Indices," Deutsche Börse - iBoxx Indices, pp. 1-58, Version 1.51 (October 2002).

"Dow Jones Stoxx Sustainability Indexes Guide," STOXX, pp. 1-44, Version 1.0 (October 2001).

"Statistics Guide," Deutsche Börse, pp. 1-24, Version 1.1, (October 1999).

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"iBoxx € Benchmark Indices," Deutsche Börse.

"German Bond Index - REX," Deutsche Börse.

"German Volatility Index - VDAX," Deutsche Börse.

MAILING ADDRESS OF SENDER:

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New York, New York 10020

PATENT NO. 6,754,639 B2

No. of additional copies: 0

Burden Hour Statement: This form is estimated to take 1.0 hour to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Rentenmarkt-Index: Maßstab für Trends und Erfolge Die Bank, Zeitschrift für Bankpolitik und Bankpraxis, Nr. 2, Februar 1984, (with translation).

Das Ende des Taschenrechners für den Rentenmarktindex FAZ Finanzmärkte, Nr. 149, Seite 24, 01. Juli 1991, (with translation).

REX: Neue Maßzahl für den Rentenmarkt FAX Finanzmärk, Nr. 133, Seite 25, 12. Juni 1991, (with translation).

Securities and Exchange Commission File No. S7-16-97 Available at
<http://www.sec.gov/rules/concept/s71697/frankel.htm>

"Trades modernized", The Financial Post(Toronto-Daily Edition), Section 1, News; World Business Briefs, (February 24, 1989), pp. 9.

"21st-century stockbroking; Switzerland's securities traders face an electronic future", SHZ Publications (Switzerland), No. 2, (March 1990), pp. 46.

"Bankers prepare for a change; Lausanne's financial sector faces a more competitive future", SHZ Publications (Switzerland), No. 6, (November 1990), pp. 37.

"Wiring the buy side; Electronic Joint Venture Partners L.P. UniVu turnkey systems for bond analytics services", Wall Street Computer Review, Vol. 8; No. 12 (September 1991), pp. 32.

"European Bourse Reform; Tax cuts to catch investor interest - Sweden aims to draw in more foreigners", Financial Times (London), Section I, (October 17, 1991), pp. 35.--.

FIG. 2, delete reference numeral "260".

FIG. 2, move the "NO" indicator on test 310 from the right of the arrow connecting test 310 to test 330 to the left of that arrow.

FIG. 2, extend the arrow pointing downward from the bottom of test 330 so that it connects to the arrow connecting block 340 to block 350.

FIG. 3, in block 460, change "Price_{P(1,N)}" to --Price_{P(I,N)}--.

FIG. 3, in block 500, change "Price_{P(1,N)}" to --Price_{P(I,N)}--.

FIG. 3, delete the arrow connecting block 520 to test 530, add a block 525 between block 520 and test 530 that is labeled --COMPARE COUPON DATE_{P(I,J)} TO MATURITY DATES OF SECURITIES IN DATABASE--, add an arrow from block 520 to block 525, and add an arrow from block 525 to test 530.

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FIG. 3, in test 530, change the text from "COUPON DATE_P(J)=DATE_P(I)?" to --DOES COUPON DATE MATCH A MATURITY DATE--.

FIG. 3, delete the arrow connecting test 530 and block 550, and connect the arrow from block 540 directly to block 550.

FIG. 3, add a block 535 near the lower left of test 530 that is labeled --CALCULATE COUPON SPOT RATE--, add an arrow coming out of the left side of test 530 that is going into the top of block 535 and that is labeled --YES--, and add an arrow coming out of the bottom of block 535 that is going into the left side of block 550.

FIG. 4, in block 610, change "A(1,N)" to --A(I,N)--.

FIG. 4, in test 620, change "A(1,N)=P(1,N-1)" to --A(I,N)=P(I,N-1)--.

FIG. 4, in block 630, change "U(1,N)=A(1,N)" to --U(I,N)=A(I,N)--.

FIG. 4, in block 670, change "rU(1,N)" to --rU(I,N)--.

FIG. 5, in block 720, change "P(1,N)" to --P(I,N)--.

FIG. 5, in block 730, change "P(1,N)" to --P(I,N)--.

FIG. 5, in block 790, change "rF(K,J)- rP(1,N)" to --rF(K,J)=rP(I,N)--.

FIG. 5, in block 880, change "YTM" to --YTM_F--.

FIG. 5, delete reference numeral "890".

FIG. 6, in block 900, change "PRICES" to --BIDS--.

FIG. 6, in block 910, change "SPEED PROCESSORS" to --COLLATE AND FORMAT--.

DESCRIPTION OF THE PRESENT INVENTION, column 8, line 35, " $X = 1 + \frac{rP(I)}{2}$; and" should be -- $X = 1 + \frac{rP(I)}{2}$ --.

DESCRIPTION OF THE PRESENT INVENTION, column 9, line 6, " $A = [D\text{-Coupon Date } P(I/N)]/[Coupon \text{ Date_}P(I,N+1)\text{-Coupon Date_}P(I,N)]$ " should be -- $A = [DD\text{-Coupon Date } P(I/N)]/[Coupon \text{ Date_}P(I,N+1)\text{-Coupon Date_}P(I,N)]$ --.

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Claim 7, column 12, lines 11-12, "instruments" should be --instrument--.
Claim 10, column 12, lines 37-38, "instruments" should be --instrument--.
Claim 23, column 14, lines 24-25, "instruments" should be --instrument--.
Claim 26, column 14, lines 48-49, "instruments" should be --instrument--.

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APPLICATION NO. : 09/225537
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Claim 26, column 14, lines 48-49, "instruments" should be --instrument--.

Signed and Sealed this

Nineteenth Day of December, 2006



JON W. DUDAS
Director of the United States Patent and Trademark Office